



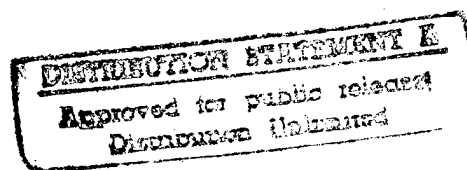
NAVAL FACILITIES ENGINEERING SERVICE CENTER
Port Hueneme, California 93043-4370

User's Guide UG-2024-ENV

COMPREHENSIVE ENVIRONMENTAL RESPONSE, COMPENSATION AND LIABILITY ACT (CERCLA) ADMINISTRATIVE RECORD MANAGEMENT SYSTEM (ARMS) USER'S GUIDE

by

Bonnie Capito
Christine Potter
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September 1997

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FOREWORD

The purpose of this document is to provide the Naval Facilities Engineering Command (NAVFACENGCOM) Engineering Field Divisions/Engineering Field Activities (EFDs/EFAs) with a step-by-step guide for:

- Ensuring the Administrative Record File (ARF) is complete using the guidance from the Environmental Protection Agency (EPA), the Department of Defense (DOD), and the Department of the Navy (DON)
- Converting the ARF from paper to electronic format. This format includes fiche, film, Compact Disc Read Only Memory (CD-ROM), magnetic tape, or an optical disk platter. (Version 2 of the User's Guide will address electronic to electronic conversion).

The DON/DOD cleanup program began with the passage of the Comprehensive Environmental Response, Compensation and Liability Act of 1980 (CERCLA). Passage of the Superfund Amendments and Reauthorization Act (SARA) in 1986 brought all federal facilities under the CERCLA program. SARA required the DON to follow EPA rules. Section 113K of the CERCLA as amended by SARA requires the establishment of an Administrative Record (AR) which forms the basis for the selection of a response action. The ARF includes the final records which are a part of the DON's decision-making process (Ref 1).

Requests for copies, comments, suggestions, and updates to this User's Guide may be sent to:

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DSN: 262

Electronic copies are available on the internet at: <http://www.navy.mil/homepages/navfac/env>

NAVAL FACILITIES ENGINEERING COMMAND DISCLAIMER

This User's Guide describes various options for converting a paper version of the Administrative Record onto CD-ROM. The Naval Facilities Engineering Command does not guarantee the accuracy of the conversion from paper to electronic format. A complete and accurate legal copy of the Administrative Record shall be available to the public at or near the facility as required by CERCLA Section 113(k)(1).

ACKNOWLEDGMENT

We wish to thank all those who contributed to this document. The work group was chartered on 13 December 1993 by NAVFACENGCOM Headquarters (HQ). The first committee meeting was held on 4 February 1994. The work group was renamed the Administrative Record Management System (ARMS) Committee. Each EFD/EFA, the Naval Facilities Engineering Service Center (NFESC), and NAVFACENGCOM HQ are represented.

Work Group

The purpose of the work group is to investigate, recommend, develop, and implement an automated Administrative Record Management System for the environmental field offices using local area networks and stand-alone personal computers.

Members (Alternate):

| | |
|--------------------------------|---------------------------------|
| <u>CHAIRMAN</u> (NAVFACENGCOM) | Steven Gonzales |
| LANTDIV | Bonnie Capito |
| SOUTHDIV | Constance Merting |
| SOUTHWESTDIV | Christine Potter |
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| EFA CHES | Robert Sadorra |
| EFA NORTHWEST | Hlynn Savage |
| NFESC | Wanda Edwards (Anita Ortiz) |

Former Group Members:

| | |
|--------------------------------|-----------------------------|
| <u>CHAIRMAN</u> (NAVFACENGCOM) | Rob Smith (1993-97) |
| SOUTHDIV | Charlie Black |
| LANTDIV | Byron Brant |
| SOUTHWESTDIV | John Rogers |
| EFA CHES | Heath Wells, Shawn Phillips |
| EFA WEST | Jim Brown |
| EFA NORTHWEST | Pam Gilmore |

Advisors:

| | |
|-----------------------------------|--------------------------------|
| NAVFACHQ Code 911 | Jim Carberry (Bill Fitzgibbon) |
| FACSO | Alan Denney |
| Subject Matter Experts as needed. | |

Responsibilities:

- Review and improve Administrative Records record management process.
- Investigate possible methods of electronic storage and distribution of the Administrative Records information.
- Provide written guidance and standards required for implementation of AR management system.
- Ensure ARMS is cost effective.
- Provide feedback from ARMS users to the NAVFAC associates on likes and dislikes and recommended priorities for necessary adjustments.
- Provide recommendations to NAVFACHQ functional manager (e.g., policy changes, resources, etc.).
- Members coordinate ARMS activities within their command and keep associates informed on the progress.

Accomplishments:

- Adopted indexing standards/definitions for record identification to conform with the U.S. EPA guidance and existing definitions.
- Estimated the total retrospective conversion page count and future volume of paper records for each EFD/EFA.
- Obtained quotes from varied contractors for electronic conversion both on-site and off-site.
- Reviewed the laws governing Administrative Record Files.
- Surveyed Base Environmental Offices and public repositories in order to determine their hardware and network capabilities.
- Published ARMS User's Guide

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CHAPTER I

PURPOSE

The purpose of this document is to provide the Naval Facilities Engineering Command (NAVFACENGCOM) and Engineering Field Divisions/Engineering Field Activities (EFDs/EFAs) with a step-by-step guide for:

- Ensuring the Administrative Record File (ARF) is complete using the guidance from the Environmental Protection Agency (EPA), the Department of Defense (DOD), and the Department of the Navy (DON) (Refs 2 and 3).
- Converting the ARF from paper to electronic format. This format includes fiche, film, CD-ROM, magnetic tape, or an optical disk platter.

Generic samples have been provided in this guidebook and can be tailored for each EFD/EFA. Appendixes A through E are core documentation for implementing an ARF. The samples and appendixes are available on the following internet address: <http://www.navy.mil/homepages/navfac/env>.

The NAVFACENGCOM is comprised of eight EFDs/EFAs. Each is responsible for the management and distribution of their Administrative Record (AR). The need is to establish an Administrative Record Management System (ARMS) and the means to receive future documents in an electronic format and to convert existing records from paper to electronic format.

Currently, the AR consists of volumes of paper that contain reports, letters, data, recommendations, drawings, photographs, etc. The paper records become cumbersome and costly in terms of handling, record management, access requirements, distribution, space allocation, and retention or storage without an automated record managing system.

CHAPTER II

ADMINISTRATIVE RECORD

DEFINITION

An Administrative Record (AR) is the combination of records and other material that forms the basis for remedy selection and any legal review of the Comprehensive Environmental Response, Compensation and Liability Act of 1980 (CERCLA) response action implemented at an installation restoration site. It also serves as a vehicle for public participation in the selection of a response action.

AUTHORITY

Appendix A provides the authority for the Administrative Record File (ARF).

SAMPLE SHEETS

Samples of a Public Availability Information Legal Notice and Administrative Record File Fact Sheet are provided for EFD/EFA use.

PUBLIC AVAILABILITY INFORMATION

LEGAL NOTICE

NOTICE OF AVAILABILITY OF ADMINISTRATIVE RECORD AND 30 DAY PUBLIC COMMENT PERIOD (SITE NUMBER AND NAME HERE) REMOVAL ACTION

The Administrative Record, which documents the Navy's decision to undertake a Response Action for cleanup of a spill, is available for public review. The Administrative Record is located at *(enter location, POC, phone)* for review. Written comments on the Administrative Record should be mailed or faxed to:

(enter POC name)
(enter POCs title)
(enter address)
(enter fax number)

PLEASE NOTE: SAMPLES CAN BE TAILORED BY EACH USER TO SUIT THEIR REQUIREMENTS.

ADMINISTRATIVE RECORD FILE FACT SHEET

The Administrative Record File (ARF) for the (insert Base/Activity) is a collection of records considered by the Department of the Navy (DON) in the selection of environmental response actions for the Installation Restoration Program currently underway.

The ARF serves two purposes. First, it provides access to site-specific information so that the public may make informed comments to the DON on the selection of response actions. Second, if the adequacy of a response decision is challenged in court, the judicial review of that decision may be largely based on the records in the ARF. This file is consistent with the requirements of the Comprehensive Environmental Response, Compensation and Liability Act of 1980 (CERCLA), as amended by the Superfund Amendments and Reauthorization Act of 1986 (SARA).

The ARF is available for public review during normal business hours. It is treated as a non-circulating reference record. This will allow the public access to the records and minimize the risk of loss or damage. Individuals may photocopy any record contained in the ARF according to the photocopying procedures at the local repository.

The ARF is crucial to the public because it contains information upon which the selections of interim and final response actions will be based. Technical studies and significant correspondence among government agencies are included in the ARF, as well as those records which reflect notification and participation of the public in the site activities. The consideration and response by the Navy to those comments are also incorporated into the ARF. Examples of information found in the ARF include:

| | |
|------------------------|------------------------------|
| Sampling data | Work plans |
| Guidance & policy | Health/risk evaluations |
| Technical studies | Media notices |
| Decision records | Public information materials |
| Proposed cleanup plans | Court orders and decrees |
| Correspondence | Meeting minutes |

Records containing sensitive information are placed in the confidential portion of the ARF. This part of the ARF is maintained in a secured area. Confidential material is not accessible to the public; however, to the extent feasible, summaries of the records will be made available in the open portion of the ARF.

Records in the ARF are listed in an index. The index contains bibliographic information and the physical location of each record. Information is further identified by classification within each of the categories. Please see the section on "How to Use the Index."

The ARF is a work in progress. Records will be added as studies are conducted; for this reason, some volumes or sections of volumes may contain few or no records at this time. If records in the ARF are damaged or lost during use, please contact the Command designated for comments and questions in order to obtain replacement material.

(Insert Base/Activity) welcomes comments at any time on environmental activities. Formal comment periods are held at certain stages of the response process. The public is urged to use these formal comment periods to review the ARF and submit comments on proposed

actions. If you need further information or have a comment or question, please direct inquiries and comments to:

POINT OF CONTACT

Name, Position Title

Activity Name

Activity Address

City, State, Zip Code

Telephone Number

PLEASE NOTE: SAMPLES CAN BE TAILORED BY EACH USER TO SUIT THEIR REQUIREMENTS.

CHAPTER III

SYSTEM STANDARDS

| SYSTEM | HARDWARE | SOFTWARE | OUTPUT |
|------------------------|--|--|---|
| CD-ROM | <ul style="list-style-type: none"> IBM Personal Computer, or 100 percent compatible 486 or higher, running MS-DOS Version 6.0 or later (6.22 preferred) VGA Monitor (Super VGA Recommended, set to 256 colors) 8 Megabytes of RAM 16 Megabytes of Available Space on Hard Drive. 1.44 B, 3.5-inch disk drive Microsoft Windows Version 3.1 (or higher) Mouse Printer Compatible with Windows 3.1 or higher 4x CD-ROM Player, or faster | <ul style="list-style-type: none"> Compatible with the latest Version of MS-Office Suite Compatible with EFD/EFA ADP in-house Standards | <ul style="list-style-type: none"> Tagged Information File Format (TIFF) is a Format that Most Agencies Use Graphic Interchange Format (GIF) and Printer Control Language (PCL) are also Popular Choices Consider Output File Formats that are Compatible with Intranet and Internet Research Type of Reader that Customer has before Electronic Format is Selected |
| Magnetic Tape | (list type of hardware in the standard for this media) | | |
| Optical Disk Platter | <ul style="list-style-type: none"> Plasmon Jukebox, 20 Slot, 2 Drives, 52 GB Optical Cartridges Adaptec SCSI Card Kofax Scan and print compression board Kofax HP Printer video adapter board scan/print cable Kofax Fujitsu 3097E+ 11.7"x17" 39 ppm scanner with 100 page ADF IBM personal computer or 100% compatible 486 (or higher) running MS-DOS version 6.0 or later 15" or 17" High Resolution Monitor 16 megabytes of RAM 1.0 GB HDD Microsoft Windows version 3.1 or higher mouse control device HP Laser Jet II or higher | <ul style="list-style-type: none"> Optika FilePower FP multi Image Management Software, 5 user -Fpmulti SERVERConnection license, 5 -Fpmulti CLIENTConnection license, 10 | |
| Micro Fiche/Micro Film | <p>Microfilm Reader</p> <ul style="list-style-type: none"> Reel Cartridge 16mm 35mm 8mm <p>Microfilm Cartridge Format</p> <ul style="list-style-type: none"> Ansi (clip that goes around reel) 3M Type (enclosed box) Open Reel <p>Microfiche Reader</p> <ul style="list-style-type: none"> Lens Size | | |

Note: It is imperative to survey the customer before an electronic format is selected.

PLEASE NOTE: SAMPLES CAN BE TAILORED BY EACH USER TO SUIT THEIR REQUIREMENTS.

CHAPTER IV

IMPLEMENTING THE ARMS PROCESS

Note that you may have completed certain steps in the process of converting paper to electronic files. As you read this document, review what you have accomplished and begin wherever you feel is best for your needs.

Figure 1 illustrates the Six Step Process.

Process Name: IMPLEMENTING THE ARMS SIX STEP PROCESS
Process Ref#
Process Author: ARMS WORK GROUP
ISO Ref:
Date: 8/8/97
Update:

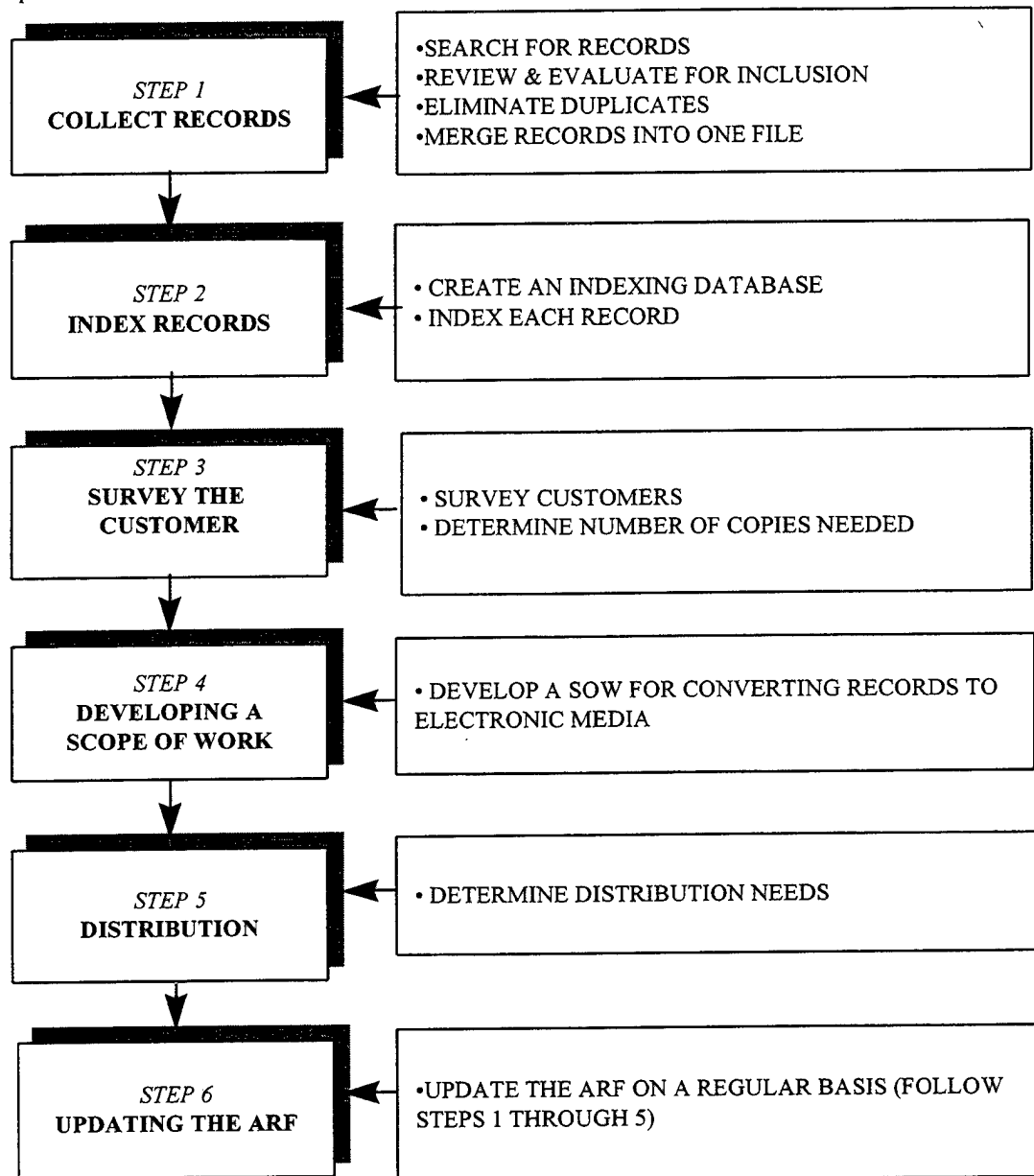


Figure 1. ARMS SIX STEP PROCESS

STEP ONE - RESEARCHING THE RECORD*

Purpose

- Determine point of contact for activity.
- Determine if there is an existing AR.
- Determine prior responsible parties for historical information.
- Ascertain if there are any procedures in place for recording and indexing the record.
- Determine if Information Repository has been established, and if so, contents.
- Determine if there is a database containing an index.
- Locate and research existing records.

Contributors

The following is a list of possible contributors but is not limited to:

1. Engineer in Charge
2. Remedial Project Managers
3. On-site coordinators
4. Contractors
5. Regional Counsel staff
6. Federal agencies
7. State agencies
8. CERCLA contractors
9. The public
10. Other groups or individuals concerned with the response action

ORGANIZING PAPER FILES*

Purpose

The file should be compiled as relevant records on the response action are generated or received. The records must be reviewed and evaluated to ensure ARF accuracy and completeness.

- Review and evaluate records for inclusion in the ARF.
 - This evaluation will be done by the RPMs, the ARC and/or by the activity personnel as appropriate for each EFD/EFA. Frequent consultation between Base personnel and EFD/EFA personnel may be necessary.
- Select records for inclusion and eliminate duplicates.
 - Gather guidance and compendium records.

- Always add to the compendium records. Keep all compendium records for preserving historical decision making process.
- Organize records into one file.

*Refer to OSWER Directive No. 9833.3A-1, Section II, Procedures for Establishing the Administrative Record.

GUIDE FOR ARF RECORD COLLECTION

The following explains how to create a file of records that you have concerning the Base/Facility and site(s) that you manage.*

1. Separate files into quarters by year as follows:

JANUARY 1 TO MARCH 31

APRIL 1 TO JUNE 30

JULY 1 TO SEPTEMBER 30

OCTOBER 1 TO DECEMBER 31

2. If you are unsure as to whether the record actually belongs in the ARF, put the record in the file and check with the Librarian/Administrative Records Coordinator (ARC).

3. If you have received copies of records/drafts/draft finals/finals, please give the Librarian/ARC a "clean" copy. Provide the Librarian/ARC a copy of records as they are received. Check with the respective EFD/EFA regarding policy on retaining records regarding drafts/draft finals/finals for placement in the ARF.

4. Notify the Librarian/ARC if the Base/ Facility has ARF records which need to be placed in the ARF. The Base/Facility should have been given the same records which were sent to the activity. The Base/Facility records must be marked and verified as duplicates.

5. Notify the Librarian/ARC if you are aware of other records which may have been sent to the local public repository without the knowledge of the Librarian/ARC.

6. Notify the ARC of any records which have not been included in the ARF.

*If you have a Librarian/ARC, consult with them regarding procedures.

PLEASE NOTE: SAMPLES CAN BE TAILORED BY EACH USER TO SUIT THEIR REQUIREMENTS.

ADMINISTRATIVE RECORD *CHECKLIST* FOR RI/FS

THIS IS NOT A COMPREHENSIVE LIST. *There is no comprehensive list. The guidelines are flexible enough to cover the inclusion of a variety of materials.*

| Typical RI/FS Activities | DOCUMENTS |
|---|---|
| <i>Preliminary Assessment Site Inspection</i> | <ul style="list-style-type: none"> • Preliminary Assessment (PA) Report • Site Inspection (SI) Work Plan • Site Investigation Report • Site Inspection Sampling and Analysis Plan (SAP) • Site Inspection Quality Assurance Project Plan (QAPP) • Site Inspection Health & Safety Plan (FSP) • Site Inspection Field Sampling Plan (FSP) • Site Inspection Chain of Custody Forms • Raw Analytical Data • Data Summary Data • Site Inspection Report |
| <i>RI/FS Phase</i> | <ul style="list-style-type: none"> • Remedial Investigation/Feasibility Study Work Plan (final approval) • Remedial Investigation/Feasibility Study Work Plan Amendments • Remedial Investigation Sampling & Analysis Plan (SAP) • Remedial Investigation Quality Assurance Project Plan (QAPP) • Remedial Investigation Health & Safety Plan (HSP) • Remedial Investigation Field Sampling Plan (FSP) • Remedial Investigation Chain of Custody Forms • Raw Analytical Data • Inspection Reports • Data Summary Sheets |
| <i>RI/FS Completed</i> | <ul style="list-style-type: none"> • Remedial Investigation Report • Feasibility Study Report • Data Submitted by the Public • Comments/Responses on RI/FS Reports • Remedial Investigation/Feasibility Reports (as available for public comment and as final, if different) • Technical Studies • Alternative Technologies/Treatability Studies • Health Risk/Endangerment Assessment |
| <i>Policy & Guidance</i> | <ul style="list-style-type: none"> • Guidance Documents • Technical Literature • Technical Studies performed for the site • Memos on Site-Specific or Issue-Specific Policy Decisions |

CONTINUED

ADMINISTRATIVE RECORD *CHECKLIST* FOR RI/FS

THIS IS NOT A COMPREHENSIVE LIST. *There is no comprehensive list. The guidelines are flexible enough to cover the inclusion of a variety of materials.*

| Typical RI/FS Activities | DOCUMENTS |
|---------------------------------|---|
| <i>General</i> | <ul style="list-style-type: none"> • Site Management Plans • Site Photographs/Maps • Endangerment Assessment • ATSDR Health Assessment • Letters to Regulators Requesting Identification of ARARs • Responses from Regulators Identifying of ARARs • Notice to Regulators • Regulators Comments on drafts, draft finals, and final RI/FS • Correspondence and Memos to and from government agency to regulator agency |
| <i>Public Participation</i> | <ul style="list-style-type: none"> • Community Relations Plan • Newspaper Articles Showing General Community Awareness • Fact Sheets or Summary Information Regarding Remedial Action Alternatives • Proposed Plan • Letters forwarded to persons on the community relations mailing list, including associated data and mailing list for each document. • Public Notices • Public Comments and Agency Responses • Responses to Comments from State/Federal Agencies • Responses to Significant Comments Received from the Public Concerning the Selection of a Remedial Action • Transcripts of Formal Public Meetings • Written Comments on Selected Remedy Submitted by the Public • Documentation of Substantive Oral Comments on Selected Remedy • Regulators Concurrence, Non-concurrence, or Comments on the Proposed Plan and Responses to Comments • Other Federal Agency Documents (Army Corps of Engineers, Department of Interior, etc.) • Congressional Correspondences • National Resources Trustee Notices and Responses, Findings of Fact • Responsiveness Summary |
| <i>Record of Decision</i> | <ul style="list-style-type: none"> • Record of Decision (ROD) • Amendments to ROD • Explanation of Significant Differences |

CONTINUED

ADMINISTRATIVE RECORD *CHECKLIST* FOR RI/FS

THIS IS NOT A COMPREHENSIVE LIST. *There is no comprehensive list. The guidelines are flexible enough to cover the inclusion of a variety of materials.*

| Typical RI/FS Activities | DOCUMENTS |
|--|--|
| <i>Enforcement Documents</i> | <ul style="list-style-type: none">• Notice letters to PRPs• Responses to Notice Letters with Relevant Factual Information• Section 104(e) Information Request Letters and Subpoenas• Affidavits• Administrative Orders• Consent Decrees• Enforcement History• Endangerment Assessments• Documents of Technical Discovery with PRPs |
| <i>Enforcement Documents "Include only if relevant to the selection of removal action"</i> | <ul style="list-style-type: none">• Notice letters to PRPs• Section 104(e) Information request Letters and Subpoenas• Affidavits• Administrative Orders• Consent Decrees |
| <i>Base Realignment and Closure (BRAC)</i> | <ul style="list-style-type: none">• Environmental Baseline Survey (EBS)• BRAC Cleanup Plan• Base Closure Plan• Closure Notifications |

PLEASE NOTE: SAMPLES CAN BE TAILORED BY EACH USER TO SUIT THEIR REQUIREMENTS.

ADMINISTRATIVE RECORD *CHECKLIST* FOR REMOVAL ACTION

THIS IS NOT A COMPREHENSIVE LIST. *There is no comprehensive list. The guidelines are flexible enough to cover the inclusion of a variety of materials.*

| <i>Typical Removal Action Activities</i> | DOCUMENTS |
|---|---|
| <i>Preliminary Assessment Site Inspection</i> | <ul style="list-style-type: none"> • Preliminary Assessment (PA) Report • Site Inspection (SI) Work Plan • Site Inspection Sampling and Analysis Plan (SAP) • Site Inspection Quality Assurance Project Plan (QAPP) • Site Inspection Health and Safety Plan (H&SP) • Site Inspection Sampling Plan (FSP) • Site Inspection Chain of Custody Forms • Raw Analytical Data • Data Summary Sheets • Site Reports |
| <i>RI/FS Phase</i> | <ul style="list-style-type: none"> • Remedial Investigation/Feasibility Study Work Plan (final approval) • Remedial Investigation/Feasibility Study Work Plan Amendments • Remedial Investigation Sampling & Analysis Plan (SAP) • Remedial Investigation Quality Assurance Project Plan (QAPP) • Remedial Investigation Health & Safety Plan (HSP) • Remedial Investigation Field Sampling Plan (FSP) • Remedial Investigation Chain of Custody Forms • Raw Analytical Data • Inspection Reports • Data Summary Sheets |
| <i>RI/FS Completed</i> | <ul style="list-style-type: none"> • Remedial Investigation Report • Feasibility Study Report • Data Submitted by the Public • Comments/Responses on RI/FS Reports • Remedial Investigation/Feasibility Reports (as available for public comment and as final, if different) • Technical Studies • Alternative Technologies/Treatability Studies • Health Risk/Endangerment Assessments |
| <i>Policy & Guidance</i> | <ul style="list-style-type: none"> • Guidance Documents • Technical Literature • Technical Studies Performed for the Site • Memos on Site-Specific or Issue-Specific Policy Decisions |
| <i>General</i> | <ul style="list-style-type: none"> • Site Management Plan • Endangerment Assessment • ATSDR Health Assessment • Letter to Regulators Requesting Identification of ARARs • Response from Regulators Identifying ARARs • Notices to Regulators • Regulators Comments on drafts, draft finals, finals of the RI/FS • Correspondence and Memos |

CONTINUED

ADMINISTRATIVE RECORD *CHECKLIST* FOR REMOVAL ACTION

THIS IS NOT A COMPREHENSIVE LIST. *There is no comprehensive list. The guidelines are flexible enough to cover the inclusion of a variety of materials.*

| Typical Removal Action Activities | DOCUMENTS |
|--|---|
| Public Participation | <ul style="list-style-type: none"> • Community Relations Plan • Newspaper Articles Showing General Community Awareness • Fact Sheets or Summary Information Regarding Remedial Action Alternatives • Proposed Plan • Letters forwarded to persons on the community relations mailing list, including associated data and mailing list for each document. • Public Notices • Public Comments and Agency Responses • Responses to Comments from State/Federal Agencies • Responses to Significant Comments Received from the Public Concerning the Selection of a Remedial Action • Transcripts of Formal Public Meetings • Written Comments on Selected Remedy Submitted by the Public • Documentation of Substantive Oral Comments on Selected Remedy • Regulators Concurrence, Non-concurrence, or Comments on the Proposed Plan and Responses to Comments • Other Federal Agency Documents (Army Corps of Engineers, Department of Interior, etc.) • Congressional Correspondences • National Resources Trustee Notices and Responses, Findings of Fact • Responsiveness Summary |
| Enforcement Documents. "Include only if relevant to the selection of removal action" | <ul style="list-style-type: none"> • Notice letters to PRPs • Response to Notice Letters with Relevant Factual Information • Section 104(e) Information request Letters and Subpoenas • Affidavits • Administrative Orders • Consent Decrees |
| Base Realignment and Closure (BRAC) | <ul style="list-style-type: none"> • Environmental Baseline Survey (EBS) • BRAC Cleanup Plan • Base Closure Plan • Closure Notifications |

For non-time-critical, AR is placed at site when EE/CA is made available to the public.

For time-critical, AR is placed at site within 60 days of when removal activities are initiated.

For emergency (30 days or less), AR may be made available only at the Regional office location.

PLEASE NOTE: SAMPLES CAN BE TAILORED BY EACH USER TO SUIT THEIR REQUIREMENTS.

INCLUDE DOCUMENTS IF CONSIDERED OR RELIED ON

The following is a list of documents irrelevant to the decision on selecting a response action. If, however, these documents contain information that is considered or relied on in the response action selection and that is not contained elsewhere in the record file, then the documents should be included in the record file. **"THIS IS NOT A COMPREHENSIVE LISTING."**

Asbestos Reports
BRAC Cleanup Plans (BCP)
Change Notices
Cost Reports
Daily Work Reports
Delivery Orders (contractual records)
Environmental Baseline Surveys (EBS)
Financial Reports
Hazard Ranking System
Interagency Agreements
Internal Notes (between contractor and DON)
Internal Meeting Agendas (between contractor and DON)
Internal Meeting Minutes (between contractor and DON)
Internal Briefing Records (between contractor and DON)
Invoices
Modifications
Monthly Progress Reports
Narrative Summaries
Negotiations
On-Site Registers and Logs
Pollution Prevention Assessment Reports
Purchase Orders
Quality Assurance/Quality Control Records
Removal Response Subcontractor Records
Responses to Technical Directions
Rule Making Docket Information
Schedule Changes
Site Access Records
Site Closeout Report
Site Security Records
Storm Water Reports
Technical Direction Letters
Telephone Conversations (between DON and Contractor)
Underground Storage Tank Reports

PLEASE NOTE: SAMPLES CAN BE TAILORED BY EACH USER TO SUIT THEIR REQUIREMENTS.

STEP TWO - INDEXING

Purpose

Appendix D has been adopted to be the Core and Optional fields that are pertinent to indexing the AR for accuracy and linking to other databases.

Index each record in accordance with Appendix D and Reference 3. Create an index and be sure that you have a detailed list for the contents of each ARF. Indexing is critical to retrieving records. Correct and consistent indexing of records allows for more efficient record retrieval, whether paper, CD-ROM, fiche, film, or optical disk platter. Indexing creates a populated database.

The following procedures are recommended when creating an index:

- Use Commercial Off-the-Shelf Software (COTS).
- Create an index (database) using Appendix D.
- Appendix B is a listing of EPA categories. EPA categories can be subdivided into codes. See Reference 3 for further information.
- Index each record with consistency. Standard naming conventions for data entry should be developed. It is recommended to use a pull down menu where possible to ensure consistency.
- Place the document index identification number on the first page of each record as appropriate. Recommend marking first page of each record in the upper right-hand corner.

STEP THREE - SURVEYING THE CUSTOMERS

Purpose

Before committing to a designated media for customers, it is recommended that a survey of customers be conducted to determine their electronic capability.

- Surveying the customers may include but not be limited to repositories, Base Environmental Office, federal and state regulatory agencies, and in-house users.
- After completion of survey determine the number of copies needed in appropriate media.
- A sample letter and survey follows.

CERCLA ADMINISTRATIVE RECORD MANAGEMENT SYSTEM USER'S GUIDE COMPUTER/CD-ROM SURVEY

The Naval Facilities Engineering Command is conducting a survey in order to find out what your requirements are in order to support the Administrative Record File (ARF) and Index when it is issued in electronic format.

The ARF and Index is the collection of documents by the Department of the Navy (DON) in the selection of environmental response actions for the Installation Restoration Program currently underway.

The ARF serves two purposes. First, it provides access to site-specific information so that the public may make informed comments to the DON on the selection of response actions. Second, if the adequacy of a response decision is challenged in court, the judicial review of that decision may be largely based on the records in the ARF.

Enclosure (1) is provided for your input. Return enclosure (1) to (insert point of contact) by (insert date).

If you have any questions, please contact (insert name) at (insert phone number), (insert address), (insert email address), (insert fax number) for further assistance.

Encl: (1) Microfilm, Microfiche, and PC Equipment Survey

PLEASE NOTE: SAMPLES CAN BE TAILORED BY EACH USER TO SUIT THEIR REQUIREMENTS.

MICROFILM, MICROFICHE, AND PC EQUIPMENT SURVEY

Date _____

Purpose: Determine the availability, accessibility, and type of hardware at each site where an Administrative Record File and Index is housed.

Activity:

Engineering Field Division:

Address of Library/Repository:

Phone Number:

Email:

Point of Contact and Title:

Fax Number:

Library Facility Computer Systems Administrator/Instructor:

Name of Person Conducting Survey:

PLEASE NOTE: SAMPLES CAN BE TAILORED BY EACH USER TO SUIT THEIR REQUIREMENTS.

MICROFILM/MICROFICHE SURVEY

1. Does the library have a microfilm reader? ____ Yes ____ No

2. What type of reader is it?

- (a) ____ Reel
- (b) ____ Cartridge
- (c) ____ 16mm
- (d) ____ 35mm
- (e) ____ 8mm
- (f) ____ other specify

3. What is the cartridge format?

- (a) ____ Ansi (clip that goes around reel)
- (b) ____ 3M Type (enclosed box)
- (c) ____ Open Reel

4. What is the accessibility of microfilm reader to the public?

5. Does the library have a microfiche reader? ____ Yes ____ No

6. If yes to question 5, what is the lens size? _____

Comments:

PLEASE NOTE: SAMPLES CAN BE TAILORED BY EACH USER TO SUIT THEIR REQUIREMENTS.

PC EQUIPMENT SURVEY

1. Does your facility have a PC? ____ Yes ____ No
2. Is/Are computers available for use by the public? ____ Yes ____ No
3. List information about the computers available:
 - (a) Manufacturer (i.e., Dell, IBM, Apple) _____
 - (b) Processor (i.e., 286, 386, 486, Pentium) _____
 - (c) Amount of RAM (i.e., 4, 8, 16 MB) _____
 - (d) Speed (i.e., MHz, 60 MHz, 90 MHz) _____
4. Does computer have a mouse? ____ Yes ____ No
5. Does computer have print capability? ____ Yes ____ No
6. Does computer have a CD-ROM? ____ Yes ____ No
7. Does the facility use a jukebox for CD-ROMs? ____ Yes ____ No
8. Does your facility have a LAN? ____ Yes ____ No

Comments:

PLEASE NOTE: SAMPLES CAN BE TAILORED BY EACH USER TO SUIT THEIR REQUIREMENTS.

STEP FOUR - DEVELOPING A SCOPE OF WORK

Items italicized need to be changed to suit the project needs.

ADMINISTRATIVE RECORD CONVERSION (RC)

This task consists of capturing the ARF records as images. These images will then be linked to the existing ARF Index. Approximately 75,000 pages will be scanned and captured as images.

Additionally, approximately 200 oversize figures (larger than 11" x 17") will also be scanned at a reduced scale and captured as images.

Every page of every record (paper or electronic) will be faithfully reproduced as an exact copy in order to meet legal requirements. This includes handwritten records. The images created will be indexed and linked to a populated database, providing the user with search capabilities. This will allow the user to access specific records (by record title), by specific site (by site name), by EPA category code, date, keywords, and record type within multiple records.

The ARF images will be optical character read (OCR) in order to provide an enhanced text search capability. OCR is likely to result in occasional misspellings as images are converted to text. There will be no provisions for proofing and correcting for text accuracy.

The completed ARF Indexing System(s) and appropriate software will be placed on CD-ROM. Additionally, a quick reference guide to searching will be provided. A master set and eight copies will be prepared. Each set will be delivered in sturdy CD-ROM cases. Software run-time licenses will be provided for each set. *Approximately one year* after the initial Record is completed, the Record will be updated. The update will add approximately 1,980 pages and 20 oversize figures to the Record.

Software/hardware will be compatible with and able to migrate to Micro-Soft Office Suite. Software code ownership will transfer to EFD/EFA. The contractor shall maintain the original copy for future updates and making additional copies. The data belongs to the Navy. Appropriate shipping medium will be determined by the Navy. Charges will be contractor responsibility.

Quality Assurance/Quality Control will include the following:

- Provide written document security plan(s) to government
- Provide written QA/QC plan to government
- Provide records validation upon receipt and return
- Ensure photo (black/white and color) clarity

PLEASE NOTE: SAMPLES CAN BE TAILORED BY EACH USER TO SUIT THEIR REQUIREMENTS.

- Ensure proper table alignment
- Ensure all image pages are “right side up”
- Ensure search capabilities are fully functional as requested

Government will provide:

- Paper/electronic documents to be scanned/Optical Character Read
- ARF index (database)
- List of acronyms
- Definition and purpose of the Administrative Record File
- Explanation of the EPA category codes
- Names, telephone numbers, cover graphics and logos (for CD-ROM label and cover)
- Suggestions for a “quick reference guide” for using the CD-ROM
- Minimum platform hardware requirements
- Project Milestones

| <u>Key Project Milestones</u> | <u>Number of Days From Award</u> | <u>Interval</u> |
|---|--------------------------------------|-----------------|
| Collect/Deliver Hard Copy Record | 15 | 15 |
| Prepare Draft Document Scanning | | |
| Linking, and CD Transfer | 40 | 25 |
| Submit Draft Record on CD | 40 | 0 |
| LANTDIV/Activity Review | 50 | 10 |
| Prepare Final Record on CD | 60 | 10 |
| Submit Final Record on CD | 60 | 0 |
| Deliver Updated Reports | 360 | 15 |
| Prepare Final Update of Record on CD | 375 | 15 |
| Submit Final Update of Record on CD | 375 | 0 |

- Tasks
 - Task 1 – Project Management
 - Task 2 – Document scanning and linking services to produce grouped, archived reports on CD-ROM
- Deliverables – CD-ROM disks
 - Document Delivery Schedule

PLEASE NOTE: SAMPLES CAN BE TAILORED BY EACH USER TO SUIT THEIR REQUIREMENTS.

| <u>Document</u> | <u>Number of Copies</u> |
|--|-----------------------------------|
| Draft Administrative Record on CD-ROM | 1 |
| Final Administrative Record on CD-ROM | 9 (1 copy retained by contractor) |
| Draft Administrative Record Update on CD-ROM | 1 |
| Final Administrative Record Update on CD-ROM | 9 (1 copy retained by contractor) |

ESTIMATED RECORD CONVERSION COSTS/UPDATE

| <u>Description</u> | <u>Units</u> | <u>Estimated Min. Quan.</u> | <u>Unit Price</u> | <u>Total Cost</u> |
|------------------------------------|---------------------------------------|---------------------------------|-------------------|-------------------|
| 1. Document Scanning | | | | |
| a. Regular Size | Page | 75,000 | \$0.25 | \$18,750.00 |
| b. Oversize | Page | 500 | \$1.50 | 750.00 |
| 2. Indexing & Linking Images | Lump sum | 1 | | 2,000.00 |
| 3. Enhanced Text Search Capability | Lump sum | 1 | | 8,000.00 |
| 4. Transfer to CD-ROM | | 9 | \$100.00 | 900.00 |
| 5. Update of Record | Lump sum (including enhanced text) | 1 | | 6,000.00 |
| 6. Software Licensing | Lump sum | 1 | | 900.00 |
| 7. Setup charge | | | | 4,000.00 |
| Estimated Subcontractor Cost | | | | \$49,400.00 |

PLEASE NOTE: SAMPLES CAN BE TAILORED BY EACH USER TO SUIT THEIR REQUIREMENTS.

OPTIONS TO CONSIDER FOR SCOPE OF WORK

- Convert to ASCII text.
- Images will be Optical Character Read (OCR) for full text searching capability.
- Proofing and correcting text accuracy can be expensive.
- Provide copy of cover graphics if desired.
- Each EFD/EFA will need to make a decision regarding scanning color pictures as a gray scale image, a black and white image, or as a legible and readable color image. The following are listed in order of least expensive/least time/less space to more expensive/more time consuming/most space—black and white image, gray scale image and color image.
- Ensure that the CD is a “run-time” CD and writes minimal amounts of files to the hard drive. Recommend no more than 5 meg.
- The contractor shall maintain the electronic master copy for future updates and for creating additional copies.
- Xerox a set of the records before shipping.
- Remove all covers and bindings; clip or use rubber bands to keep records together. Use of staples is acceptable, especially for records that are no more than ten pages. This will make for a better shipping package as it is flat, and you can ship more records per box.
- Place records in the order in which you plan to convert to electronic media or to have them xeroxed. Placing records in order ensures QA/QC of the conversion process. It also enables you to quickly check the number of records placed in the shipping box.
- To create an Information Repository on CD-ROM, there are no legal restrictions. An image of the record does not need to be faithfully reproduced, nor does the material need to be cataloged and indexed. It is suggested a table of contents be created.

| Project Record Submittal Distribution | | | | | | |
|--|-----------------|----------|------|---------------|-----|-----|
| Record | <i>EFD/EFA*</i> | Activity | NEHC | <i>State*</i> | EPA | RAB |
| Draft SMP | 3 | 2 | | | | |
| Draft Final SMP | 2 | 2 | | 1 | 1 | 12 |
| Final SMP | 2 | 2 | | 1 | 1 | |
| 97-98 Draft SMP Update | 3 | 2 | | | | |
| Draft Final SMP Update | 2 | 2 | | 1 | 1 | 12 |
| Final SMP Update | 2 | 2 | | 1 | 1 | |
| Draft Administrative Record on CD | 1 | | | | | |
| Final Administrative Record on CD ¹ | 11 | | | | | |
| Draft Administrative Record Update on CD | 1 | | | | | |
| Final Administrative Record Update on CD | 11 | | | | | |
| Draft Master Project Plans | 2 | 1 | 1 | | | |
| Draft Final Master Project Plans | 2 | 1 | 1 | 2 | 4 | 5 |
| Final Master Project Plans | 3 | 3 | 1 | 1 | 1 | |
| Draft Checklist | 2 | 1 | 1 | | | |
| Draft Final Checklist | 2 | 1 | 1 | 2 | 4 | 5 |
| Final Checklist | 3 | 3 | 1 | 1 | 1 | |

*Items italicized need to be changed to suit the project needs.

¹Distribution of the Final Version of the Administrative Record is as follows: (1) One copy to the City of _____ Public Library (Public Repository), (2) One copy for NFESC, (3) One copy to each of the 2 Naval Base RPMs, (4) One copy for the EFD/EFA Librarian/ARC, (5) One copy to the Activity Environmental Office, IR Coordinator, (6) One copy to the State Environmental Agency, and (7) One copy to the Environmental Protection Agency.

PLEASE NOTE: SAMPLES CAN BE TAILORED BY EACH USER TO SUIT THEIR REQUIREMENTS.

| Project Milestones Administrative Record Conversion Contract Task Order 0010 | | |
|---|------------------------------|----------|
| Key Project Milestones | Number of Days from Award | Interval |
| Collect/Deliver Hard Copy Record | 15 | 15 |
| Prepare Draft Record Scanning, Linking, and CD Transfer | 40 | 25 |
| Submit Draft Record on CD | 40 | 0 |
| NAVFAC Activity/Activity Review | 50 | 10 |
| Prepare Final Record on CD | 60 | 10 |
| Submit Final Record on CD | 60 | 0 |
| Deliver Updated Reports | 360 | 15 |
| Prepare Final Update of Record on CD | 375 | 15 |
| Submit Final Update of Record on CD | 375 | 0 |

PLEASE NOTE: SAMPLES CAN BE TAILORED BY EACH USER TO SUIT THEIR REQUIREMENTS.

| Sample Price Schedule | | | | |
|---|------------------------------------|----------------------------|------------|------------|
| Description | Units | Estimated Minimum Quantity | Unit Price | Total Cost |
| 1. Record Scanning | | | | |
| a. Regular size pages | Page | 19,800 | | |
| b. Oversize pages | Page | 200 | | |
| 2. Indexing and Linking Images | Lump Sum | 1 | | |
| 3. Enhanced Text Search Capabilities (Optional Task) | Lump Sum | 1 | | |
| 4. Transfer to CD-ROM | Sets | 11 | | |
| 5. Update of Record | Lump Sum (including enhanced text) | 1 | | |
| | Lump Sum (excluding enhanced text) | 1 | | |
| 6. Software Licensing | Lump Sum | 1 | | |
| 7. Setup Charge | | | | |
| Estimated Subcontractor Cost without Enhanced Text Search | | | | |
| Subcontractor Cost with Enhanced Text Search | | | | |

PLEASE NOTE: SAMPLES CAN BE TAILORED BY EACH USER TO SUIT THEIR REQUIREMENTS.

ESTIMATED DIRECT COSTS

ESTIMATED DIRECT COSTS

| SUBTASK/DESCRIPTION | | | | |
|--|--------------|---------------|--------------------|----------------------------------|
| Task 2 – Record Scanning, Indexing, Software | | | | |
| | \$ Per Image | Total | Total Imaging Cost | Total Cost for Eight CD-ROM Sets |
| Imaging Costs: | | | | |
| Record Handling and Scanning | \$ | \$ | | |
| Archive & Linking Images | \$ | \$ | \$ | \$ |
| CD-ROM Media and Run Time Software | | \$ Per CD-ROM | | |
| Software run time license for FolioVIEW, FoxPRO & Intellex | | \$ | \$ | \$ |
| CD-ROM Mastering Costs | | | | |
| Per copy for CD-ROM creation (burn) | | \$ | | \$ |
| Record Transport | | \$ | | \$ |
| | | TOTAL | | \$ |

PLEASE NOTE: SAMPLES CAN BE TAILORED BY EACH USER TO SUIT THEIR REQUIREMENTS.

This table is generated for the contractors to enable them to produce the correct number of copies for the Administrative Record File.

CERCLA RESPONSIBILITY MATRIX

| NUMBER OF INFORMATION REPOSITORIES | RESPONSIBILITY | ACTIVITY | ADMIN RECORD COPIES |
|------------------------------------|---|--------------------|---------------------|
| Microfiche | Insert Contractor Name (Insert POC*) | Barstow (MCLB) | 2 |
| 1 | Insert Contractor Name (Insert POC) | Bridgeport (MCWTC) | 2 |
| 2 | Insert NAVFAC Activity (Insert POC) | Camp Pendleton | 2 |
| 2 | Insert Contractor Name (Insert POC) | Coronado (NAB) | 1 |
| 2 | Insert Contractor Name (Insert POC) | El Centro (NAF) | 2 |
| 1 | Insert Contractor Name (Insert POC) | El Toro (MCAS) | 2 |

*POC = Point of Contact.

PLEASE NOTE: SAMPLES CAN BE TAILORED BY EACH USER TO SUIT THEIR REQUIREMENTS.

STEP FIVE - DISTRIBUTION

Purpose

To document and maintain the ARF distribution.

- Refer to Step Three to determine number of copies and type of media. Distribution should be accomplished by EFD/EFA. Recommended distribution of paper copies:
 - Original copy retained by EFD/EFA
 - Activity Environmental Office
 - Public Repository
 - EFD/EFA RPM (optional)
- Distribution for electronic format may include but is not limited to:
 - RPM
 - Librarian/ARC
 - Activity Environmental Office
 - Public Repository
 - U.S. EPA
 - State Environmental Agency
 - NFESC
 - One extra copy
- Distribute by preferred method.

STEP SIX - UPDATING THE ARF

Purpose

Provisions should be made to ensure regularly scheduled updates.

- Updates should be done on a regularly scheduled basis. No more than one year should pass between updates.
- Steps one through five apply to updates.
- The updated database may be contained on the new electronic media.
- Records not included in the original electronic conversion should be included in the next scheduled update. If a record is out of order, add a disclaimer statement to the electronic format.
- For multiple CDs, you may want to consider putting the index on a separate CD or download it to the hard drive.
- Recycle CDs appropriately.
- Label updates appropriately.

CHAPTER V

SUPPORT CONTRACT QUALIFICATIONS

CRITERIA FOR SELECTING A CONTRACTOR

- Select a contractor who can integrate the software that you select, who can meet your requirements, and who will adhere to the customer's needs.
- Ensure contractor has security provisions in place. While records are in contractor possession, ensure they are protected from unauthorized access and use.
- Have contractor provide QA/QC Program Guide.
- Recommend selecting a contractor within EFD/EFA geographical area.
- Ensure customer has accessibility to records at all times.
- Determine if contractor has extensive experience in systems integration and imaging.
 - Request an evaluation copy of their software.
- Assess contractor's equipment to ensure that it is state of the art.
- Tour the contracting facility.
- Evaluate contractor personnel for experience and expertise.
- Have contractor provide references.
 - Check references for support capability and services.
- Make sure the contractor uses the ISO 9660 Standards for CDs. The DOD Automated Document Conversion Master Plan (available at <http://www.navy.mil/homepages/navfac/compt/referenc.htm>) says:
 - “CD-ROM standards:
 1. ISO 9660:1988, Information Processing - Volume and File Structure of CD-ROM for Information Interchange, covering the logical (data storage) format that makes a Compact Disc readable.
 2. ISO 10149:1989, Information Processing - Data Interchange on Read-Only 120 mm Optical Data Disks (CD-ROM), standardizes the physical characteristics (track shape, track pitch, and data structure) of a Compact Disc.”

REFERENCES AND WEB SITES

1. Department of the Navy. Environmental Restoration Plan for Fiscal Years 1996-2000 (web site <http://5yrplan.nfesc.navy.mil>).
2. Navy and Marine Corps Installation Restoration Manual, Feb 1997 (web site www.navy.mil/homepages/navfac/env).
3. OSWER Directive 9833.3A-1. Final Guidance on Administrative Records for Selecting CERCLA Response Actions. Dec 3, 1990 (web site www.navy.mil/homepages/navfac/env).
4. Naval Amphibious Base Little Creek. Draft Environmental Terms and Acronyms. Base Civil Engineer Department, Environmental Quality Division Installation Restoration Program, Mar 1997.

ACRONYM LIST

| | |
|--------------|--|
| AR | Administrative Record |
| ARARs | Applicable or Relevant and Appropriate Requirements |
| ARC | Administrative Records Coordinator |
| ARF | Administrative Record File |
| ARMS | Administrative Record Management System |
| BCP | BRAC Cleanup Plan |
| BRAC | Base Realignment and Closure |
| CD-ROM | Compact Disc Read Only Memory |
| CERCLA | Comprehensive Environmental Response, Compensation and Liability Act |
| CHINFO | Chief of Naval Information |
| CLEAN | Comprehensive Long-Term Environmental Action Navy |
| COTS | Commercial Off-the-Shelf |
| CTO | Contract Task Order |
| DFAS | Defense Finance and Accounting Service |
| DOD | Department of Defense |
| DON | Department of the Navy |
| EBS | Environmental Baseline Survey |
| EFA | Engineering Field Activity |
| EFA CHES | Engineering Field Activity, Chesapeake, Naval Facilities Engineering Command |
| EFA NORTH | Engineering Field Activity, North, Naval Facilities Engineering Command |
| EFA NW | Engineering Field Activity, Northwest, Naval Facilities Engineering Command |
| EFA WEST | Engineering Field Activity, West, Naval Facilities Engineering Command |
| EFD | Engineering Field Division |
| EPA | Environmental Protection Agency |
| FACSO | Facilities System Office |
| FIS | Facility Information System |
| GIF | Graphics Interchange Format |
| HQ | Headquarters |
| IS | Information System |
| JPEG | Joint Photographic Experts Group |
| LANTDIV | Atlantic Division Naval Facilities Engineering Command |
| LCM | Life Cycle Management |
| MAGIC | Master Activity General Information Control |
| MHz | Megahertz |
| NARA | National Archives and Records Administration |
| NAVFACENGCOM | Naval Facilities Engineering Command |
| NCP | National Contingency Plan |
| NEHC | Navy Environmental Health Center |
| NFESC | Naval Facilities Engineering Service Center |
| NORM | Normalization of Data |
| OCR | Optical Character Read |

| | |
|--------------|---|
| PA | Preliminary Assessment |
| PACDIV | Pacific Division, Naval Facilities Engineering Command |
| PCL | Printer Control Language |
| PDF | Portable Document Format |
| QA/QC | Quality Assurance/Quality Control |
| RAB | Restoration Advisory Board |
| RC | Record Conversion |
| RCRA | Resource Conservation and Recovery Act |
| RI/FS | Remedial Investigation/Feasibility Study |
| ROD | Record of Decision |
| RPM | Remedial Project Manager |
| SARA | Superfund Amendments and Reauthorization Act |
| SI | Site Inspection |
| SOW | Scope of Work |
| SMP | Sample Management Plan |
| SOUTHDIV | Southern Division, Naval Facilities Engineering Command |
| SOUTHWESTDIV | Southwestern Division, Naval Facilities Engineering Command |
| TIFF | Tagged Information File Format |
| UIC | Unit Identification Code |
| VDEQ | Virginia Department of Environmental Quality |

APPENDIX A

ADMINISTRATIVE RECORD FILE AUTHORITY BIBLIOGRAPHY

CONGRESSIONAL MANDATE:

Section 113(k) - Comprehensive Environmental Response, Compensation, and Liability Act of 1980 as amended by the Superfund Amendments and Reauthorization Act of 1986

U.S.C. S9601 - National Contingency Plan (NCP) - 40 CFR Part 300, Subpart I, Development and Maintenance of the Administrative Record

36 CFR 1228.188 - Transfer of Machine Readable Records to the National Archives and Records Administration (NARA)

EPA GUIDANCE RECORDS:

FINAL GUIDANCE ON ADMINISTRATIVE RECORDS FOR SELECTING CERCLA RESPONSE ACTIONS, OSWER Directive #9833.3A-1 December 3, 1990

COMMUNITY RELATIONS IN SUPERFUND, A HANDBOOK, EPA/540-G-88-002
OSWER Directive #9230.0-38, June 1, 1988

COMMUNITY RELATIONS DURING ENFORCEMENT ACTIVITIES AND
DEVELOPMENT OF THE ADMINISTRATIVE RECORD, OSWER Directive
#9836.0-1A, November 1, 1988

SUPERFUND REMOVAL PROCEDURES, PUBLIC PARTICIPATION GUIDANCE FOR
ON-SCENE COORDINATORS: COMMUNITY RELATIONS AND THE
ADMINISTRATIVE RECORD, OSWER Directive #9360.3-05, July 1, 1992

SUPERFUND INFORMATION REPOSITORIES AND ADMINISTRATIVE
RECORDS: INTRODUCTION FOR LIBRARIANS, EPA/520-F-92-001, August 1, 1992

DEPARTMENT OF DEFENSE GUIDANCE:

Chief of Naval Operations, Fiscal Year 1994 - Environmental Management Initiatives Letter 5090 41BJ/930334, December 13, 1993

Chief of Naval Information (CHINFO) Public Affairs Guidance on Installation Restoration Administrative Message, July 1989

COMNAVFACENGCOM Software Evaluation Guide, October 1991

DOD Automated Record Conversion Master Plan, Version 1.0, April 1995

OPNAVINST 5090.1B, Chapter 15 - Environmental and Natural Resources Program Manual

MCO P5090.2B, Section 3, paragraph 14312 - Environmental Compliance and Protection Manual, September 26, 1991

NAVFACINST 5231.1 - Life Cycle Management (LCM) Policy and Approval Requirements for Information System (IS) Projects, March 28, 1995

OPNAVINST 5230.24 - Navy and Marine Corps Policy on the Use of Compact Disc Technology, November 18, 1993

Navy/Marine Corps Installation Restoration Manual, Chapter 10, Sections 10.1-10.3, February 1997

SOUTHWESTNAVFACENGCOM Code 18 Policy Memo #11 of 12 December 1994

APPENDIX B

EXPLANATION OF EPA CATEGORIES

The Administrative Record File Index is organized into categories that roughly follow the chronological process of defining a pollution event, evaluating possible cleanup options, and making a preferred restoration plan available for comment by all interested parties. The terminology may vary among government agencies and applicable regulations, but the same process is being described in all cases.

SITE INVESTIGATION

This category provides background information on the site and surrounding area. Information includes a site summary, a health and safety plan, spill reports, and significant correspondence concerning the site.

REMOVAL RESPONSE

A removal action is either non-time-critical or time-critical. A non-time-critical removal action means that, based on site evaluation, a planning period of six months exists before on-site activities must be initiated. A time-critical removal action means that, based on the site evaluation, a planning period of less than six months exists before on-site activities must be initiated.

REMEDIAL INVESTIGATION

A remedial investigation, by definition, is a long term study which fully defines the scope of the pollution problem, collects data, and determines the technologies and management techniques that may be applied to the site. It is a process that evolves over time as more information is collected which indicates the nature and direction the investigation should take.

FEASIBILITY STUDY

The feasibility study stage of an investigation evaluates the data regarding the risk to human health and the environment. It proposes possible remediation technologies to develop the most feasible restoration plan.

This study includes a determination of the cleanup level targets, also known as cleanup standards or levels which are Applicable or Relevant and Appropriate Requirements (ARARs) to the site, its contaminants and the media contaminated. These cleanup targets are determined in

part by the state and federal regulations and policies. In some cases, state and federal policies are used as criteria to determine how clean the contaminated media must become.

HEALTH ASSESSMENTS

Health assessments conducted in the affected area and submitted to government agencies for consideration will be added to the ARF. This includes toxicological profiles and database information, surveys, and correspondence.

RECORD OF DECISION

The actual decision records and records of decision, amendments to them, and relevant correspondence covering federal, state and local government agencies.

EPA AND STATE COORDINATION

Any cooperative or interagency agreements will be in this section. Any formal certification of ARARs or cleanup standards are also recorded here. Other records that demonstrate the coordination efforts among the various government agencies will also be located here.

ENFORCEMENT

This section contains historical compliance and legal information about the parties involved in the action, legal orders and decisions, affidavits, letters for access to property, and recordation of compliance with orders.

PUBLIC PARTICIPATION

This category provides recordation of dialog with the public, public comments and concerns, government responses to those comments, and notification to the public of available information and proposed decisions or actions. Included are fact sheets, news releases, meeting minutes, public notices, public comments, and government responses.

CONGRESSIONAL RELATIONS

This section provides for correspondence from members of the U.S. Congress, transcripts and testimonies regarding Congressional hearings, and published hearing records.

NATURAL RESOURCE TRUSTEE

Sometimes another federal agency wishes to review available data or gather additional data on the site to determine the impact on other natural resources over which they have responsibility. This may include the Department of Interior/U.S. Fish and Wildlife Service, which has authority for the welfare of fish and wildlife in the U.S. Data, reports, correspondence, or action taken will be placed in this category.

GUIDANCE RECORDS AND TECHNICAL SOURCES

Many guidance records and technical resources are consulted when an environmental study is made. Operation and maintenance manuals may be included so the public will better understand the complexities of data gathering, monitoring, and remediation processes.

CONFIDENTIAL FILE

Some records may need to be protected due to the nature of the installation or the type of pollution. However, the law also states that the public has a right to know that there is protected or sensitive information being held. Therefore, the Administrative Record File contains this section which notifies the public of the existence of sensitive records. Only via a special request granted by the Navy and legally cleared, will these records be made available.

POST-DECISION RECORD FILE

Recordation of the implementation of remediation decisions is placed in this part of the Administrative Record File. This file holds key records which may be relevant if a change to the decision is necessary at some point in the future.

APPENDIX C

LESSON LEARNED DURING THE CONVERSION OF THE ADMINISTRATIVE RECORD FILE TO A CD-ROM FORMAT 1/10/96

BACKGROUND

The Atlantic Division (LANTDIV) librarian began to investigate the possibility of converting the Administrative Record Files (ARF) for 15 bases, which LANTDIV manages, to an electronic format early in 1994. The first objective was to use this technology as a future means to make the ARF more accessible in a timely manner to the general public, lawyers, and state and federal agencies that need to use it as well as LANTDIV personnel. The second major objective was to ease the burden on repositories that housed the ARF. Most are libraries that did not have the shelf space to store the paper copies that are constantly expanding.

LESSON #1 - INVESTIGATE WHAT HAS ALREADY BEEN DONE AT THE ACTIVITY.

LESSON #2 - FIND OUT WHAT GUIDELINES EXIST FOR YOUR PROJECT AND FOLLOW THEM (AGENCY AND OTHER). USE GUIDANCE IN THIS DOCUMENT AND ANY INTERNAL POLICY THAT YOUR RESPECTIVE EFD/EFA HAS IN PLACE.

In 1993, the Atlantic Division librarian began investigating the options available. At that time, there were no guidelines within the U.S. Navy to do the conversion nor were there any Department of Defense (DOD) initiatives to convert the ARF. The ARFs for military installations differ from civilian ARFs. For non-federal facilities, a single site will be listed (i.e., one industrial landfill will become one site; if there are three landfills, each becomes a "site"). Federal facilities with multiple sites are listed as a single "site." The Atlantic Division chose to develop a master Administrative Record for the entire federal facility (site). This includes all applicable information on all sites at each facility. The U.S. EPA has issued organizational guidelines for non-federal facility paper ARFs which the Atlantic Division adapted to use for federal facility ARFs.

LESSON #3 - LOOK AT EVERY CONVERSION SYSTEM AVAILABLE; TALK TO VENDORS AND LISTEN TO PRESENTATIONS IN ORDER TO MAKE THE BEST DECISION FOR YOUR ORGANIZATION

LESSON #4 - REVIEW/PREVIEW EVERY TYPE OF SOFTWARE THAT YOU CAN IN ORDER TO MAKE A SELECTION

LESSON #5 - SELECT THE APPROPRIATE WAY FOR YOUR ORGANIZATION TO CONVERT THE ARF TO AN ELECTRONIC FORMAT

LESSON #6 - COORDINATE WITH THE ADP DEPARTMENT; INVITE THEM TO SEND A REPRESENTATIVE TO YOUR COMMITTEE.

LESSON #7 - BEGIN WITH A PILOT PROJECT; CREATE A PROTOTYPE

LESSON #8 - DISTRIBUTE THE PROTOTYPE TO A WIDE AUDIENCE; ENCOURAGE FEEDBACK.

LESSON #9 - TEST THE PROTOTYPE TO THE LIMIT; MAKE PROLIFIC NOTES AND THEN TEST AGAIN AND AGAIN.

LESSON #10 - BE PREPARED TO SOLVE NEW PROBLEMS BECAUSE THE OPPORTUNITY TO DO SO WILL PRESENT ITSELF.

APPENDIX D
ADMINISTRATIVE RECORD FILE CORE AND OPTIONAL INDEX FIELDS

| CORE OR OPTIONAL | FIELD NAME | FIELD TYPE | NUMBER OF CHARACTERS | FIELD DESCRIPTION | DATABASE INPUT STANDARDS | OTHER INFORMATION |
|---------------------|--------------------|------------|-------------------------|---|--|---|
| <i>CORE</i> | *Cut-Off Date | Date | 10 | Date a certain action has taken place. | | |
| <i>CORE</i> | *Process Date | Date | 10 | Date record was entered into the index. | | Can be generated automatically. |
| <i>CORE</i> | Author | Text | 30 | Name of originator (person, firm) of the record. Use only first author. Can be "signature" field. | | *See footnote |
| <i>CORE</i> | Author Affiliation | Text | 30 | Firm, naval installation, etc. Same as "from" field | | *See footnote |
| <i>CORE</i> | Contract Number | Text | 15 | Contract number refers to the Department of the Navy contract under which the record was produced. | (i.e. N68711-89-D-9296) | *See footnote |
| <i>CORE</i> | Number of Pages | Numeric | 4 | Number of pages or approximate number of pages. | (i.e. 0004, 1123) | |
| <i>CORE</i> | Owner | Text | 1 to 5 | Owner (EFD/EFA, custodian, originator) of record who maintains control of inputted record. Application automatically entered when owner logs in and enters record(s). | FIS Codes R = SWESTDIV & EFANW W = EFAWEST S = SOUTHDIV N = NORTHDIV L = LANTDIV C = EFACHES P = PACDIV | If you use EFD/EFA list from MAGIC, it is a one character code. If you use list in NORM, it is a five character field. *See footnote |

* Each EFD/EFA can predefine their pull down menus. Standardization is achieved by importing from existing databases (NORM, MAGIC, FIS, DFAS, etc.)

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| CORE OR OPTIONAL | FIELD NAME | FIELD TYPE | NUMBER OF CHARACTERS | FIELD DESCRIPTION | DATABASE INPUT STANDARDS | OTHER INFORMATION |
|------------------------------|--------------------------|------------|-------------------------|---|--|--|
| <i>CORE</i> <i>Cont'd</i> | Owner | Text | 1 to 5 | | NORM Codes CHES, LANT, NORTH, NWEST, PAC, SWEST, SOUTH, WEST | |
| <i>CORE</i> | REC_ID | Text | 10 | A computer generated number from the Facility Information System (FIS) which contains the official Navy Site Register List. This number will not change unless the sites are split or the activity gets an additional UIC for BRAC purposes. | | Used as a key for linking to other databases. *See footnote |
| <i>CORE</i> | Recipient | Text | 30 | Name of the recipient (person, firm, agency) of the record. Multiple recipients to be listed individually. Same as "To" field. | | *See footnote |
| <i>CORE</i> | Recipient Affiliation | Text | 30 | Firm, naval installation, etc. Same as "signature" field. | | *See footnote |
| <i>CORE</i> | Record Date | Date | 10 | Date indicated on the record being entered. Dates must contain month/day/year. If record has only year, use 01/01/ for month day. Use 01/01/0000 for non-dated records. Do Not leave blank; accommodate year 2000. | (i.e. 01/01/1997, 01/01/0000, 01/02/2000) | |

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|---------------------|---------------------------------|------------|-------------------------|---|--|---|
| <i>CORE</i> | Record Number | Numeric | 10 | A sequential number automatically assigned when adding a new record. | | Field used uniquely by each EFD/EFA. *See footnote. |
| <i>CORE</i> | Sites Addressed | Text | 10 | Site(s) which are addressed in the document. | i.e. SITE 00010, UST 000023, SWMU 00045, AOC 12, CAOC 34, GROUP B, | *See footnote |
| <i>CORE</i> | Title/Description | Text | 255 | Title of record ACTUAL or ASSIGNED. Do not leave blank. | | *See footnote |
| <i>CORE</i> | Unit Identification Code Number | Text | 6 | Unit Identification Code (UIC) number is assigned to specific base by Defense Finance and Accounting Service (DFAS); it is an alphanumeric, six text character field. Do Not leave blank. | (i.e. N68711, N00246, N00251) | * UICs can be pulled from existing databases. See footnote. |
| <i>OPTION</i> | *Location | Text | 18 | Physical location of where the record is located. | | *See footnote |
| <i>OPTION</i> | *SSIC Number | Text | 16 | Standard Subject Identification Code in accordance with SECNA VINST 5212.5C | | *See Footnote |
| <i>OPTION</i> | Building Number | Text | 10 | Number designating a structure. | Bldg. 01234 | Used as a key for linking to other databases. *See footnote |

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APPENDIX D
ADMINISTRATIVE RECORD FILE CORE AND OPTIONAL INDEX FIELDS

| CORE OR OPTIONAL | FIELD NAME | FIELD TYPE | NUMBER OF CHARACTERS | FIELD DESCRIPTION | DATABASE INPUT STANDARDS | OTHER INFORMATION |
|---------------------|-------------------------------|------------|-------------------------|---|--------------------------------|--|
| <i>OPTION</i> | CD ROM Number | Numeric | 3 | Identifies which CD ROM contains record. | | |
| <i>OPTION</i> | Classification/ Locator | Text | 16 | Identifies the classification of record and whether the document is an Admin Record, Information Repository, etc. | | |
| <i>OPTION</i> | Comment Field | Memo | Varies | Memo field to be used as required. | | Memo field length varies whether using text or memo field; determined by software package. |
| <i>OPTION</i> | Contract Task Order Number | Numeric | 4 | Contract Task Order (CTO) number is usually identified on the document. If not identified on document, insert zeros in field. | | *See footnote |
| <i>OPTION</i> | Delivery Order Number | Numeric | 4 | Delivery Order (DO) number is usually identified on the document. If not identified on document, insert zeros in field. | | *See footnote |
| <i>OPTION</i> | Disposition Date | Date | 10 | Date that record is to be disposed. | | |
| <i>OPTION</i> | EPA Category Number | Numeric | 5 | Document category according to U.S. EPA guidance (OSWER DIR 9833.3A-1). | i.e. 01.02, 10.12 | *See footnote |

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APPENDIX D
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| CORE OR OPTIONAL | FIELD NAME | FIELD TYPE | NUMBER OF CHARACTERS | FIELD DESCRIPTION | DATABASE INPUT STANDARDS | OTHER INFORMATION |
|-----------------------------|-------------------------------------|-------------------|---------------------------------|---|---|--|
| OPTION | Operable Units Addressed | Text | 10 | Operable Units which are addressed in the Record. | OU 0000001 | *See footnote |
| OPTION | Record Type | Text | 20 | Description of record type. | i.e. Letter, Report, Memo, Fax, Workplan, Mtg Minutes, Data, Maps, etc. | *See footnote |
| OPTION | Special Area Code | Text | 2 | A unique two character code identifying areas in the Navy that do not have a UIC established in the Master Activity General Information Control (MAGIC) mainframe program. The program resides on the Naval Inventory Control Point, Mechanicsburg, PA. | JA | Stands for Jackson Park Family Housing. The UIC that the special area is attached to in MAGIC is UIC N00251, Puget Sound Bremerton. This field may be overcome by events as more activities are assigned a UIC. |
| OPTION | Subject/ Keywords | Text | 255 | Words or phrases, separated by commas, describing document. | | *See footnote |

*Each EFD/EFA can predefine their pull down menus. Standardization is achieved by importing from existing databases (NORM, MAGIC, FIS, DFAS, etc.)

APPENDIX E

GLOSSARY

TERMS AND DEFINITIONS USED IN THE INSTALLATION RESTORATION PROGRAM

| | |
|------------|---|
| AR | Administrative Record. The administrative record is a legal file containing the records upon which the lead agency bases the selection of a response action and on which judicial review of response actions will be based. The administrative record contains technical reports specific to each Superfund site, and key technical and administrative guidance for cleanups. An administrative record must be available at or near the site to encourage public participation in the remedy selection process. |
| ARF | Administrative Record File. The ARF refers to the records as they're being established and maintained. Until a response action decision has been selected, there is no complete administrative record for that decision. Thus, to avoid creating the impression that the record is complete at any time prior to the final selection decision, the set of records is referred to as the ARF rather than the AR. A file that contains all information used in order to make decisions on the selection of a response action under CERCLA. Available for public review and comment. |
| ARARs | Applicable and Relevant or Appropriate Requirements. State or Federal statute or regulation that pertains to protection of human health and the environment. |
| CERCLA | Comprehensive Environmental Response, Compensation and Liability Act. The original 1980 act setting up the "Superfund" for hazardous waste site cleanups nationwide. |
| CLEAN | Comprehensive Long-term Environmental Action Navy. A broad multi-year environmental contract. |
| COMPENDIUM | Guidance documents which are frequently used in selecting response actions, but are not generated for a particular site for which the record is being compiled may be kept and maintained at a central location. |

| | |
|------------------------|--|
| CORRESPONDENCE | Any official letters, memorandums, notes, telecommunications, and any other forms of addressed, written, communications sent and received by the EFD/EFA or other sources. Internal Department of Navy (DON) drafts and related internal memorandum should not be included in the AR unless they contain information found nowhere else that is considered or relied upon in the CERCLA response action decision. Drafts that are circulated outside of DON for review (e.g., to the regulators or the public) shall be included in the AR as well as the comments received by DON from those entities (and DON response to those comments). |
| FACILITY | Any building, structure, base, equipment, pipe or pipe line, well, pit, pond, lagoon, impoundment, ditch, landfill, storage container, motor vehicle, rolling stock, or aircraft; or any site where a hazardous substance has been deposited, stored, disposed of, placed, or otherwise come to be located. The term "site" is used synonymously with the term "facility" at National Priorities List (NPL) bases. |
| IR | Information Repository. An information repository is where current information, technical reports, and reference materials regarding a Superfund site are stored. The repository is established in the community at the beginning of site studies to provide the public with easily accessible information. Repositories are established for all sites where cleanup activities are expected to last for more than 45 days. Typical repository locations include public libraries, town halls, municipal offices, etc. |
| IRP | Installation Restoration Program. The Department of Defense program to assess and clean up old hazardous waste sites with funding from Environmental Restoration, Navy (ERN) and Base Realignment and Closure (BRAC) Restoration Funds. |
| RECORD | All books, papers, maps, aerial photographs, architectural or engineering drawings, photographs, machine readable materials, or other documentary materials regardless of physical form or characteristics made or received by an agency of the United States Government under federal law or in conjunction with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government. |
| RUN TIME CAPABILITY | A self-contained CD-ROM. All software is loaded on the CD. |